

09843278-042401

DECLARATION FOR PATENT APPLICATION

Docket Number (Optional)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plus names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled OPEN END MUTUAL FUND SECURITIZATION PROCESS, the specification of which

is attached hereto unless the following box is checked:

☐ was filed on _____ as United States Application Number or PCT International Application Number _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claims

☐ Yes ☐ No

(Number) (Country) (Day/Month/Year Filed)

☐ Yes ☐ No

(Number) (Country) (Day/Month/Year Filed)

☐ Yes ☐ No

(Number) (Country) (Day/Month/Year Filed)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing of the prior application and the national or PCT international filing date of this application.

(Application Number) (Filing Date) (Status - patented, pending, abandoned)

(Application Number) (Filing Date) (Status - patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Kenneth K. Ron at telephone number 212-244-4700
Address all telephone calls to Kenneth K. Ron
Address all correspondence to 309 West 57th St Apt 1707
NY NY 10019

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor (given name, family name) Kenneth K. Ron Date 10/17/95
Inventor's signature [Signature] Citizenship USA
Residence 309 West 57th St Apt 1707 NY NY 10019
Post Office Address _____

Full name of second joint inventor, if any (given name, family name) Kevin S. Bander Date 10/11/95
Second Inventor's signature [Signature] Citizenship USA
Residence 1 E. Delaware # 9K, Chicago IL 60611
Post Office Address _____

☐ Additional inventors are being named on separately numbered sheets attached hereto.

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe that I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled OPEN END M...
Fund Security Process

The specification of which
(check one)

☒ is attached hereto.

☐ was filed on _____ as application serial no. _____

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Sec. 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, Sec. 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

09843278.042401

09843278.042401

Prior Foreign Application(s)(if any)

Priority Claimed

(Serial Number)

(Country)

(Day, Month
Year filed)

[] []

(Yes) (No)

I hereby claim the benefit under Title 35, United States Code, Sec. 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Sec. 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Sec. 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application serial
number)

(Filing date)

(Status-, patented,
pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor

Kenneth KIRON

Inventor's signature

K. J. C.

Date

10/10/95

Residence

309 West 57th St #1707 NY NY 10019

Citizenship

USA

Post Office Address

(Supply similar information and signature of second and subsequent inventors.)

09843278-042401

ASSIGNMENT

WHEREAS, WE, Kenneth Kiron and Kevin S. Bander, ASSIGNORS, citizens of the United States of America, residing at 309 West 57th Street, Suite 1707, New York, New York 10019; and 1 East Delaware Street, Apt. 9K, Chicago, Illinois 60611, respectively, are the inventors of the invention in

OPEN END MUTUAL FUND SECURITIZATION PROCESS

for which we have executed an application for a Patent of the United States

☐ which is executed on ☐ even date herewith or ☐ _____ (date)

- ☒ which is identified by Pennie & Edmonds LLP docket no. 9276-003-999
☒ which was filed on December 12, 1995, Application No. 08/542,431

and WHEREAS, MOPEX INC., ASSIGNEE, having a place of business at 309 West 57th Street, Suite 1707, New York, New York 10019, is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

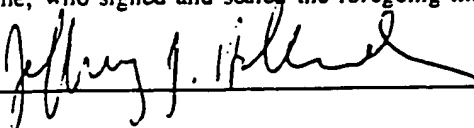
IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date June 9th, 1997  L.S.
 Kenneth Kiron

State of New York)
 County of New York) SS.:

On this 9 day of JUNE, 1997, before me, a Notary Public in and for the State and County aforesaid, personally appeared Kenneth Kiron, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

JEFFREY J. HOLLANDER
 Notary Public, State of New York
 No. 41-4968166
 Qualified in Queens County
 Commission Expires 6/10/98


 Notary Public.

05043278-042401

Date 6/10/97, 1997

Kevin S. Bander

L.S.

State of IL

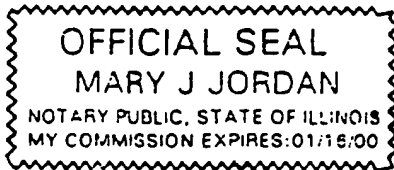
)
SS.:

County of Cook

On this 11 day of June, 1997, before me, a Notary Public in and for the State and County aforesaid, personally appeared Kevin S. Bander, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Mary J Jordan

Notary Public.



1044328-0440